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# TENURE AND GLOBAL CLIMATE CHANGE (TGCC)

QUARTERLY REPORT, JULY - SEPTEMBER 2014



OCTOBER 2014

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Cover Photo: Participatory community mapping presentation by Chipata District Land Alliance community facilitators (Matt Sommerville)

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## **DISCLAIMER**

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# ACRONYMS AND ABBREVIATIONS

CATIE	Centro Agronómico Tropical de Investigación y Enseñanza
CDLA	Chipata District Land Alliance
CGD	Center for Global Development
CO	Contracting Office
COMACO	Community Markets for Conservation
COP	Chief of Party
COR	Contracting Officer's Representative
CSA	Climate-Smart Agriculture
CSO	Civil Society Organization
DCOP	Deputy Chief of Party
dTS	Development and Training Services
ER-PIN	Emission Reductions Program Idea Note
FCPF	Forest Carbon Partnership Facility
GenDev	Office of Gender Equality and Women's Empowerment
GIS	Geographic Information System
GOB	Government of Burma
GPS	Geographic Positioning System
GUC	Grants Under Contract
IFRI	International Forestry Resources and Institutions
INGO	International Non-Governmental Organization
IQC	Indefinite Quantity Contract
KNU	Karen Natural Union
LUASC	Land Use and Land Allocation Scrutinizing Committee
LTPR	Land Tenure and Property Rights
LTRM	Land Tenure and Resource Management Office
M&E	Monitoring and Evaluation
MSU	Michigan State University
PES	Payment for Environmental Services
PMP	Performance Monitoring Plan
RCCP	Regional Climate Change Project
REDD+	Reduced Emissions from Deforestation and Forest Degradation plus carbon sequestration from forest enhancement
STA/M	Senior Technical Advisor/Manager
STARR	Strengthening Tenure and Resource Rights
TFA 2020	Tropical Forest Alliance 2020

TGCC	Tenure and Global Climate Change
TO	Task Order
UN	United Nations
USAID	United States Agency for International Development
VAT	Value Added Tax
VLC	Village Land Committee
WCS	Wildlife Conservation Society
WRI	World Resources Institute

# INTRODUCTION AND BACKGROUND

The Tenure and Global Climate Change (TGCC) task order (TO) is a program funded by the U.S. Agency for International Development (USAID) under the Strengthening Tenure and Resource Rights (STARR) Indefinite Quantity Contract (IQC). The aim of the task order is to identify and test models that strengthen resource tenure governance and property rights as they relate to successful global climate change mitigation and adaptation programming.

Climate change impacts and interventions in response to climate change could significantly affect resource tenure governance, the rights of communities and people, and their livelihoods. In turn, resource tenure and property rights issues may strengthen or undermine successful implementation of climate change-related initiatives. Interventions that strengthen resource tenure and property rights governance can help reduce vulnerability and increase the resilience of people, places, and livelihoods in the face of climate change impacts. They can also promote resource-use practices that achieve mitigation, adaptation, and development objectives.

The task order draws extensively from: the USAID Gender Equity and Female Empowerment and Evaluation policies; the historical efforts of the Land Tenure and Property Rights Division to explore the role of property rights in policy and practice related to Reducing Emissions from Deforestation and Forest Degradation (REDD+); the USAID Climate Change and Development Strategy; and the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries, and Forests.

The task order consists of four tasks and contains a grants under contract (GUC) mechanism. These aim to:

1. Pilot tenure interventions that strengthen land rights as an enabling condition for the promotion and adoption of climate-smart land use practices.
2. Clarify the legal and regulatory rights to benefits derived from environmental services under REDD+ and other Payment for Environmental Services (PES) incentives.
3. Undertake research on tenure, property rights and climate change mitigation and adaptation, initially focused on the following two questions:
  - a. How does the devolution of ownership and governance of forests improve forest condition and help communities benefit from climate change mitigation programming?
  - b. How does devolution of marine resource tenure rights contribute to biodiversity conservation, sustainable fisheries management, and climate change adaptation?
4. Strengthen women's property rights under REDD+.

TGCC is addressing these tasks by using a combination of intensive field implementation, local partnerships, field work and case studies, literature reviews, participation in international communities of practice, and workshops and conferences. Since March 2013 these efforts have increasingly focused on field implementation in two countries: Zambia and Burma. As a result, the quarterly report will include in depth discussion of these two interventions (across multiple tasks), as well as provide Task specific updates for other TGCC efforts. The duration of this task order is five years, commencing in March 2013, and its global focus is coordinated with and through USAID Missions and other international tenure and climate change bodies.

The task order is supervised by USAID's Land Tenure and Resource Management (LTRM) Office.



# EXECUTIVE SUMMARY

TGCC provides USAID with the opportunity to explore the relationship between the governance and tenure of agriculture, forests, and fisheries and the achievement of global climate change programming objectives through field work, carefully constructed quantifiable and qualified enquiries, and literature reviews. During this quarter, TGCC: mobilized long-term assistance in Burma and Zambia; launched field interventions in Zambia; carried out a resource tenure and REDD+ assessment in Nepal in cooperation with the Forest Carbon Partnership Facility (FCPF); released a paper on devolution of rights and forest condition; and finalized Central America reports on tenure and REDD+ implementation. TGCC continued its consolidation of US-based activities by integrating its US-based staff into Tetra Tech corporate offices.

**Zambia:** Following the COP's mobilization to Zambia in August 2014, the USAID Contracting Officer's Representative (COR), two additional USAID staff, and two technical consultants travelled to Zambia in September 2014 to consolidate methodologies for the first phase of field activities in Chipata District. Agroforestry activities were launched in over 175 villages. TGCC continued to coordinate effectively with the third party impact evaluation firm, and baseline surveys are now being used by the local implementer, the Chipata District Land Alliance (CDLA) to inform village engagement.

**Burma:** In June/July 2014, the USAID COR and representative from the Global Climate Change Office accompanied the TGCC Resource Law Specialist and Resource Tenure Specialist on a three-week scoping trip to Burma. This led to agreement with USAID/Burma on long-term policy and pilot activity support. During the quarter the TGCC Resource Law Specialist supported government counterparts in developing a plan for sharing the draft National Land Policy. Through participation in a drafting committee, he also supported the drafting of an outline and key elements of a new National Land Law that builds on the draft National Land Policy. The Resource Law Specialist continues to assist the three donor (European Union, Swiss Agency for Development and Cooperation, USAID) coordination group. TGCC began identifying a process to launch participatory pilot activities (associated with Task 4) in early 2015, which will include two short-term trips from international consultants and USAID in October 2014 and January 2015.

**Other activities:** TGCC's support to the FCPF in Nepal included a six week field assessment led by the TGCC Resource Tenure Specialist. The Central America Tenure and Sustainable Landscapes Assessments were revised during the quarter, and the Guatemala Assessment was submitted. Research on the devolution of resource rights to communities and the relationship to forest degradation was finalized during the quarter. The work was shared alongside the UN Secretary General's Climate Summit in September 2014, and TGCC plans to organize a panel session for the World Bank Conference in March 2015. Under the marine resource tenure task, TGCC revised the primer for USAID Missions to use in program development.

TGCC's work has been impacted by slow response time from the Contracting Officer on requests for approvals. Lack of timely approval on vehicle purchase has resulted in delays in field work and costly vehicle rentals, while slow response time on approvals associated with staffing have resulted in uncertainty for in-country staff.

Key priorities for the next quarter are to: finalize Zambia land tenure field intervention methodologies; coordinate future national awareness and policy support with donors, government and civil society in Zambia; agree on a process for pilot activities in Burma to be launched with USAID/Washington, USAID/Burma, government and civil society counterparts; continue robust support to the Government of Burma on consultations around the Draft Land Policy and development of a National Land Law; finalize the Nepal REDD+ and Resource Tenure Assessment; release the Central America REDD+ and Resource Tenure Assessments; and finalize the Marine Resource Tenure Primer.



# I.0 PROJECT ACTIVITIES

## 1.1 PROJECT ADMINISTRATION

The TGCC Year 2 work plan was approved this quarter, however all understand that the finalization of country-specific work plans for activities in Zambia and Burma will be based on the launching of work in each country. It is expected that the Year 3 work plan will be harmonized across all TGCC activities.

TGCC mobilized its Chief of Party (COP) and Resource Law Specialist on overseas assignments in Zambia and Burma during this quarter. During the quarter, each supported field activities, workshops and local costs through advances from the US. As project activities expand in each country over the coming two quarters, TGCC will need to establish basic in country administrative support, including to ensure that administrative implementation is in line with USAID and country agreements on value added tax (VAT) and other bilateral administrative agreements.

TGCC's decentralized project management approach began this quarter, with the COP based in Zambia, Deputy Chief of Party (DCOP) based in Burlington, VT, USAID COR and Contracts Officer (CO) based in Washington, and USAID/Burma and USAID/Zambia technical counterparts based in each respective country. TGCC's Senior Technical Advisor/Manager (STA/M), Mark Freudenberger discussed this arrangement in person with the USAID COR. No immediate concerns were identified, but both Tetra Tech and USAID agreed to be open to further proactive discussions should any responsiveness issues be identified. The TGCC COP and USAID COR have instituted frequent phone calls to ensure continued coordination. Furthermore, TGCC has instituted a weekly update to USAID and project counterparts to keep team members and stakeholders updated on technical and administrative activities and challenges. USAID is responsible for disseminating these updates within USAID and across relevant missions. One TGCC staffing change was announced during this quarter. Mark Freudenberger will be transitioning from TGCC to take over the management of Tetra Tech's Land Tenure and Property Rights Sector. Cristina Alvarez, TGCC's first STA/M, will take over Dr. Freudenberger's responsibilities as of 17 October 2014.

With the end of Fiscal Year 2014, USAID identified buy-in opportunities from the Burma Mission, Office of Gender Equality and Women's Empowerment (GenDev), and the Global Climate Change Office. TGCC and the USAID COR have identified inclusive email communication protocols to ensure that relevant point persons in each of these offices (as well as with previous buy-in offices) are aware of project activities.

A major administrative concern that came to the forefront of TGCC activities this quarter was the slow response of the Contracts Office on requests for approvals. TGCC received no decisions on requests for approvals from the CO's office between 29 July and 13 October 2014 (76 days). Additionally, Tetra Tech has requested copies of contract modifications 1 and 3 prior to the end of FY2014, which have not been received as of this report's writing. This has resulted in delay in some project activities and financial risks being placed on Tetra Tech, as well as individual employees and consultants. Additionally, it has resulted in increased costs as short-term compliant solutions, such as vehicle rental, have been sought, as well as negative impacts on staff morale due to uncertainty about individual liabilities.

## 1.2 ZAMBIA: TASK 1 – STRENGTHEN LAND RIGHTS TO PROMOTE ADOPTION OF CLIMATE-SMART LAND USE

Task 1 was originally focused on a potential project site in the Uluguru Mountains of Tanzania. However, following a scoping visit in May 2013, it was determined that the potential site was not suitable to best answer the question of interest. In December 2013, another scoping trip was made to Zambia, and TGCC

developed a plan for a tenure and agroforestry intervention that was accepted by USAID and is the basis of current activities.

TGCC is supporting resource tenure and agroforestry activities in the Chipata District of Zambia's Eastern Province, working through local implementing partners the Chipata District Land Alliance (CDLA) and Community Markets for Conservation (COMACO). The design of the activity is based on a randomized-control trial approach across three hundred villages in five chiefdoms in the Chipata District assigned to four treatments: land tenure; agroforestry; land tenure and agroforestry; and control.

**Zambia Coordination:** TGCC has assembled a team of local and international consultants to support the local implementers on project coordination, methodology development and implementation challenges. Since August 2014, the TGCC COP has relocated to Zambia to more closely monitor the Task 1 activities and to support project learning and coherence with national land and climate change policy developments.

### 1.2.1 Agroforestry Implementation:

The TGCC/COMACO agroforestry project in Zambia aims to address rural poverty through the use of climate-smart agricultural (CSA) practices.

Agroforestry practices have the potential to reduce rural poverty through increased smallholder agriculture productivity, improved natural resource management, and improved resilience of vulnerable households in selected villages. COMACO's work raises awareness on land and agroforestry management in the target areas, as well as access to agroforestry inputs. COMACO's staff of eight agroforestry agents and an agroforestry coordinator is supporting extension and access to agroforestry seeds from three species for over 3,600 individuals in approximately 188 villages in five Chiefdoms of Chipata District.

#### 1.2.1.1 Administration

Review and planning meetings were held with field staff in August and September 2014. These meetings were used to plan awareness meetings with headpersons and farmers in the community as well as to plan for farmer group formation, lead farmer recruitment and orientation in project activities.

#### 1.2.1.2 Technical Implementation

The following activities were implemented during this period:



Headpersons from the Maguya Chiefdom during initial agroforestry introduction meeting

#### Awareness meetings with chiefs and headpersons in Maguya, Mshawa, Mkanda, Mnukwa and Sairi Chiefdoms:

Traditional authorities play critical roles both in the organizational and planning of projects. Failing to adequately engage local leaders in project design and implementation usually begets poor participation of the people. During the quarter, COMACO held awareness meetings with Chief Maguya, Chief Mshawa, Chieftainess Mkanda, Chief Mnukwa, and Chief Sairi. All chiefs agreed to allow COMACO to engage in agroforestry activities in the TGCC selected villages.

Following this, COMACO held meetings of headpersons from the randomly selected villages in the five chiefdoms.



Photo: James Murobedzi

Chipata District Land Alliance and COMACO teams during work planning sessions in September 2014

This level of engagement was designed to ensure ownership of the program by the village leaders. While the original TGCC design called for 200 villages under the agroforestry or agroforestry and land treatments, only 188 villages were assigned to agroforestry. However, to date, only 179 villages have been identified. Over 80% of the 179 village headpersons attended the COMACO headpersons meetings.

**Identification of villages:** All eight COMACO extension officers were deployed in July and began identifying target villages and carried out awareness meetings with headpersons, a process that informed the development of networks for agroforestry extension at the village level through the formation of farmer groups. The reduction in total village number has impacted on the total number of farmers to be recruited. From the initial list of 188 villages, nine remain unidentified as of October 2014 (Table 1). While their location will continue to be identified, given the imminent start of the growing season it is too late to begin agroforestry activities in October.

**Table 1: Villages not located**

Chiefdom	Affected Villages	Reason
Maguya	Kunkhulika	Does not exist.
Mshawwa	Kausha Chiwase	Duplicated on the list Does not exist
Sairi	Alekeni and Nyalongo	These are Maguya villages and are found on Maguya list
	Kagindula, Kalaza, Lukanga, Mfipa	Duplication and do not exist

#### **Formation of farmer groups and selection of lead farmers:**

The initial target was to work with about four thousand (4,000) farmers from 200 villages, but the reduction in the total number of villages meant a reduction in the number of farmers to be recruited. Formation of the village-level farmer groups was done simultaneously in all chiefdoms. Farmers were encouraged to form groups during the village awareness meetings and joining the group was on a voluntary basis. The group formation exercise was successful in most of the chiefdoms and the average number of farmers per group in all the chiefdoms was twenty (Table 2). At the chiefdom level, Maguya and Sairi had the highest number of farmers per group on average, having 26 and 25 farmers respectively, whereas Mkanda and Mnukwa had the lowest number of farmers per group of 14 each (Table 2). This low number of farmers in Mkanda and Mnukwa chiefdoms could be attributed to the fact that the number of households in the selected villages were relatively small. However, the high number of people responding to agroforestry intervention from the Chipata south chiefdoms compared to the northern chiefdoms could also be as a result of other factors such as vulnerability to environmental degradation, exposure to livelihood interventions by various stakeholders, etc. The table below shows numbers of people by gender recruited from the various chiefdoms.



Photo: Kenneth Linyunga

Discussions during Chief Maguya headpersons meeting

**Table 2: Number of farmers recruited from each chiefdom**

Chiefdom	Number of villages	Number of Farmers			
		Male	Female	Total	Average
Maguya	27	358	340	698	26
Mkanda	30	212	214	426	14
Mnukwa	32	262	203	465	14
Mshawwa	46	453	500	953	21
Sairi	44	583	508	1,091	25
<b>TOTAL</b>	<b>179</b>	<b>1,868</b>	<b>1,765</b>	<b>3,633</b>	<b>20</b>

Selection of lead farmers was done in a participatory manner. The most important pre-condition for the selection of the lead farmers was the existence of strong consensus among the people that were to form the group. Such a consensus particularly among village members involved the close linkage and knowledge of one another that existed among themselves, and they subjected proposed names to a vote. Qualification for selection as a lead farmer also depended upon minimum education levels which enabled the farmer to be able to read and write as they were to be used in data collection and in training of fellow farmers. The chosen individual was also supposed to be highly interested in the work. The exercise ended with a total of 89 lead farmers who have since been oriented.

**Training of extension staff, lead farmers and farmers:** An orientation training was conducted for the engaged 8 extension agents to ensure that they understood their roles in line with the project goals. They were also trained on: extension approaches; how to conduct community sensitization meetings; formation of farmer groups; and on how to engage traditional leaders on the benefits of agroforestry. Further training for extension agents were held on the nursery establishment of Musangu and *Gliricidia*. Extension agents were also oriented by the COMACO monitoring and evaluation (M&E) department on how to collect paper-based baseline data on participating households. Data collection using the Android tablet system will begin in October 2014.

Based on these trainings and associated resources, the extension agents began facilitating the formation of farmer groups with lead farmers. This was followed by conducting orientation trainings for lead farmers, as well as Musangu nursery establishment and management (Table 3). Lead farmers then trained farmers in nursery establishment and care, with support from the extension agents. Nurseries have since been established in most of the groups (Table 4)

**Table 3: Number of farmers trained in Musangu nursery establishment**

Chiefdom	Lead farmers trained in nursery establishment
Maguya	12 (0W, 12M)
Mkanda	12 (4W, 8M)
Mnukwa	16 (0W, 16M)
Mshawa	27 (5W, 22M)
Sairi	23 (7W, 16M)
<b>TOTAL</b>	<b>90</b>

**Provision of planting material for agroforestry systems to farmers:** COMACO procured 1.44 million polythene sleeves for *Gliricidia* and 160,000 sleeves for *Faidherbia albida* (Musangu). Supplies are adequate for each farmer to raise about five hundred potted seedlings of *Gliricidia sepium* (GS or *Gliricidia*), and 30 seedlings of Musangu. COMACO also procured 30kg of Musangu seeds and made arrangements for *Gliricidia* and *Cajanus cajan* (CC or Pigeon pea) seeds and packaging materials. The procured polythene sleeves and Musangu seed were packaged and distributed to farmer groups.

**Table 4: Number of 'Musangu' nurseries established by 30<sup>th</sup> September, 2014**

Chiefdom	Groups	Group Nurseries	Individual Nurseries	Total Nurseries
Maguya	27	23	2	25
Mkanda	30	22	0	22
Mnukwa	32	15	0	15
Msahwa	46	40	0	40
Sairi	44	36	0	36
<b>Total</b>	<b>179</b>	<b>136</b>	<b>2</b>	<b>138</b>

### 1.2.1.3 Challenges Encountered

From an administrative perspective, delayed motorbike registration presented a challenge during the first months of implementation. Identifying villages was a particular challenge that resulted in the delay of



recruitment. Furthermore the extremely small size of some of the villages meant that the establishment of a lead farmer and farmer group within the village was not practical. For example some of the villages, especially in Mkanda had fewer than four households. From a technical perspective there is a serious shortage of water in some villages, particularly in Mnukwa, Mshawa and Mkanda, which limits the viability of nurseries. This has delayed the establishment of nurseries in these villages, and the farmer groups are attempting to establish central nurseries around newly constructed shallow wells. Finally, agroforestry activities during the month of August reduced or slowed down in Mkanda Chiefdom due to the traditional ceremony called “Kulamba Kubwalo,” which demanded that all headperson were to prepare to leave their villages and be in Katete District for the same.

#### **1.2.1.4 Upcoming Priorities**

Upcoming activities around agroforestry for the next quarter include the following activities:

- Construction of wells for Musangu nurseries;
- Continued training for farmer groups in *Gliricidia* nursery management and complete the establishment of *Gliricidia* and Musangu nurseries;
- Train farmer groups in field establishment of *Gliricidia* and Musangu; and
- Train extension agents in data capture and management including use of Android tablet system.

### **1.2.2 Land Tenure Strengthening Activity Implementation**

The CDLA/TGCC activities in Zambia aim to strengthen the security of tenure of customary land both communally and at the household level through: 1) documentation of community resources; 2) documentation of customary land governance rules at the village level; and 3) certification of smallholder fields. The CDLA will implement a two phased approach on 138 villages, initially focusing on documentation of community resources and land governance rules, followed by a certification program to begin in the fourth quarter of FY2015. The CDLA is working across four chiefdoms through continuous engagement of eight Community Facilitators, assisted by two Geographic Information Systems and Information Technology Staff, as well as with the CDLA Program Coordinator and Director.

#### **1.2.2.1 Administration**

During the past quarter, the CDLA hired six Community Facilitators in early August, and acquired an additional office space next to its current space. The CDLA have held a series of trainings with support from TGCC consultants on:

1. Use of Global Positioning System (GPS) and basic GIS mapping techniques (11-15 August 2014);
2. Open Data Kit form development and use (25-28 August 2014); and,
3. Participatory rural appraisal techniques including participatory community mapping, seasonal calendar use, and institutional mapping (5-13 September 2014).

During a planning session with USAID on 1-4 September 2014, CDLA identified the need to recruit two new Community Facilitators, a GIS expert and a Data Management Lead. During this meeting, CDLA also realized that it did not anticipate the number of village meetings and intermediate mapping products that would be associated with the work. As a result, CDLA also identified additional mapping resource and equipment including: printing services; food for full day community meetings associated with boundary walks; four GPS units; computers; and data storage. CDLA will need to submit a revised budget, which will go to USAID for approval. This revised budget and request for approval will be submitted in the upcoming quarter.

#### **1.2.2.2 Technical Implementation**

**Methodology Development:** Since the signing of the CDLA grant agreement, international and local consultants have undertaken assessments related to legal issues, land governance documentation, participatory land-use mapping, and gender implications of land activities. This collection of information culminated in a methodology meeting from 1-4 September 2014 with each of the contributing consultants, USAID, CDLA and the Zambia Land Alliance. The collective team decided on key principles for implementation and raised potential challenges that may be faced over the coming year.

The workshop divided the CDLA work into two phases, a first phase where all village level mapping, and governance activities will be initiated. The second phase will focus on customary land certificate generation at the household level. The methodology development workshop did not identify the operational work plan for how individual meetings will be carried out. Toward the end of the quarter the TGCC COP, worked with CDLA, Resource Governance Consultant and Land Certification Consultant to develop a draft series of meetings, meeting scripts, and data collection and interpretation processes for the Community Facilitators. These scripts and processes will be piloted, shared with USAID, and revised in early October 2014.

On Customary Land Certification, the workshop and early piloting of community meetings revealed numerous key questions and challenges around developing a certification program that can be implemented at a low cost, facilitated by CDLA, and potentially be scaled up by others in the future. Key challenges include, but are not limited to:

- Unclear village land boundaries reflecting a patchwork of non-contiguous village lands;
- Low capacity to administer certificates once they are generated;
- Moving boundaries, particularly on wetland fields (which disappear annually);
- Whether it will be feasible to map boundaries of fields or just individual points, or general locations; and
- Ability to certify land of individuals who may be a resident outside of the community (due to a lack of ability for a large-scale communication campaign).

Phase One activities will begin in October, while Phase Two methodologies will continue to be developed over the coming quarter.

**Launch of TGCC/CDLA program:** On 8 September 2014, CDLA's activities were officially launched in Chipata with the USAID team, CDLA team, participating chiefs, representatives from Ministry of Chiefs and Traditional Affairs, Ministry of Agriculture, Chief Chanje and Mshawa's representatives and one Induna of Paramount Chief Mpezeni present. During the launch, the CDLA informed the Chiefs and participants that the main activities focus on:

- Meeting with villages to raise awareness about the scope of CDLA activities;
- Development of village maps that will lead to village boundaries and land use;
- Documentation of rules and regulations around land allocation and management; and
- Supporting the Village Land Committee (VLC) engagement.

The chiefs were largely supportive of the CDLA activities, and agreed to call headman meetings with participating villages, as well as to appoint a few indunas as technical focal points.



Photo: Charlton Phiri

CDLA Headperson meeting at Mshawa Palace

**Headpersons Meetings in the Four Chiefdoms:** In August, the CDLA Director and Program Coordinator travelled to four participating chiefdoms, as well as to the Paramount Chief Gawa Undi of the Chewa and Paramount Chief Mpezeni of the Ngoni to introduce the project and to seek consent to work on land tenure governance.

In mid-September, while the methodology was being completed and piloted, the CDLA began the process of awareness raising and seeking approvals from Chiefs and village headpersons in four chiefdoms. Four meetings for headpersons were conducted with the view of building awareness and performing a basic chiefdom mapping exercise. The meetings sought to invite only headpersons from TGCC selected villages, however, there were headpersons from neighboring villages who learned of the meeting and chose to attend. Culturally, CDLA could not limit their attendance, and this will remain a reoccurring theme throughout the project particularly in villages that are adjacent to non-participating villages. Across the four meetings, 89 (12 headwomen and 77 headmen) of the 138 villages attended. A number of reasons limited full participation including poor communication with the villages from chiefs and induna; dual meetings that were taking place at the palace; and long distances to attend the meeting.

Additional headpersons meetings are expected quarterly and another headpersons meeting will be proposed prior to the start of the rainy season to map chiefdom level communal resources and varying access of villages to each resource.

**Piloting Methodologies:** Following the CDLA project launch, headman consultations and training events, the CDLA community facilitators trialed basic facilitation and community mapping methodologies in three pilot communities in Chief Mnu kwa's villages, Mahkaza, Chijaezo and Loukhalo. Facilitators faced a number of challenges and have provided feedback to adapt their approach in the full implementation. With respect to initial sketch mapping meetings, CDLA Community Facilitators faced

challenges related to getting some interest groups to think beyond the village settlement boundaries. Some interest groups were often unwilling to define or say particular boundaries for fear of being wrong, this is particularly the case with young women in Ngoni villages, as their custom is to relocate to their husband's village. CDLA Community Facilitators have begun taking "reference sheets" to the communities to promote that the community maps include a full suite of features/resources.

On boundary walking, CDLA initially hoped to undertake boundary walks on the same day as the initial village meeting. However, this was soon deemed impractical due to the long-distances required of the boundary walk. As a result, boundary walks will occur through a full day of walking

with an inclusive set of community members, who may form part of a Village Land Committee. Boundary walks have generally proved to be difficult because village elders have been the most keen on demonstrating their knowledge of boundaries, but in many cases are unable to walk the full boundary. Identification of boundaries between villages through satellite imagery has proved to be challenging, as bush, gardens and open agricultural fields are frequently the boundaries between villages. Almost all trial boundary walks have led to neighboring village disagreements and opening of active conflict discussions, each of which can take an hour or more to "resolve" or "table" prior to continuing on the boundary walk. Facilitators have attempted to help community members better understand the concept of "fuzzy boundaries" and encourage community members to document and table open conflicts.

### 1.2.2.3 Challenges Encountered

To date, the CDLA has faced logistical challenges such as inadequate means of transportation to take the community facilitators to the pilot communities. CDLA has one vehicle, but has also relied on additional



Reviewing sketch maps produced in Mshawa headpersons meeting

Photo: Charlton Phiri



Mshawa headperson presenting map of neighboring villages

Photo: Charlton Phiri



hired transport, which proves to be expensive. Initially, CDLA found that the smart phones do not provide adequate spatial readings, and complementary GPS units were acquired.

There has been some resistance from community members and villages to mapping their lands or providing certificates for a variety of reasons including fears that this is the first step toward taxing customary land. Other community members expressed skepticism on the use and ability to map village land because while there are often clear boundaries between community member lands, neighboring villages have largely overlapping lands resulting in a patchwork of owners from different villages, within the same geographic area. Due to the difficulty of walking over 20 kilometers around village boundaries, many community members have expressed resistance to joining on the walks, particularly women. There have been very few women who have participated in boundary walks. The addition of bringing food to feed community members who participate in walks has somewhat relieved this challenge.

#### **1.2.2.4 Key Priorities**

The upcoming quarter will see the full launching of village community mapping and governance/rule documentation. These activities must start almost immediately to get some momentum prior to the rainy season, which may substantially slow down activities. At the current rate of activities, the village level mapping and rule documentation will take approximately nine to ten months. Early in the first quarter of FY15 Community Facilitators were trained in data capture and management through mobile devices and they have begun following a workflow for all meetings and data. An additional need will be to monitor this workflow closely which is facilitated through a GIS structure that is cloud-based and accessible by the COP. The GIS integrates the baseline dataset and allows the team to understand village dynamics on land and tenure before they reach the community. During the next quarter, CDLA will need to work again with headpersons and Village Land Volunteers to document communal lands within each chiefdom. TGCC will share the proposed work flow for the first four meetings with USAID early in FY15 and by the end of the upcoming quarter will present a proposed household certification process.

## **1.3 BURMA TASK 2 – LEGAL AND REGULATORY RIGHTS TO BENEFITS FROM REDD+ AND OTHER PAYMENT FOR ENVIRONMENTAL SERVICE (PES) SCHEMES &**

### **BURMA TASK 4 – STRENGTHENING WOMEN’S PROPERTY RIGHTS UNDER REDD+**

During this quarter ongoing progress was made on:

1. Continuing work in Burma on the National Land Use Policy, particularly around preparations for its public release and following consultations;
2. Supporting the development of a National Land Law;
3. Supporting the three donor coordination process; and
4. Scoping trip to explore options for further engagement on the policy, related reform, and land pilot activities that will include strengthening women’s property rights.

#### **1.3.1 Burma Land Use Policy**

##### **1.3.1.1 Administration and Context**

TGCC successfully mobilized its Resource Law Specialist, Robert Oberndorf, to act as Land Advisor to the Government of Burma (GOB), replacing the previous Land Advisor. A formal TOR for the land advisor covering a period of 36 months was prepared and submitted to the GOB for consideration in September. While the Land Advisor’s role is primarily to work with the GOB on land related policy and legal issues, he is also working closely with civil society and other stakeholder groups on strengthening land tenure security and improving land use administration in the country. The Land Advisor has been actively engaging with individuals and organizations working on issues relating to gender and the rights of women to land resources in the country in order to ensure these are properly understood by Government stakeholders, and are recognized in both the National Land Use Policy, National Land Law and any TGCC pilot design efforts.

##### **1.3.1.2 Technical Implementation**

**Land Policy Development:** During the months of July and August there was much interaction between the President’s office and the Land Use and Allocation Scrutinizing Committee (LUASC) on the content of the draft National Land Use Policy. During this period of time, the Land Advisor worked closely with the core drafting team in order to advocate for retaining key provisions in the draft policy, and ensuring key stakeholders within Government were properly informed about the draft policy and how it fit into a broader national land use administration reform process. Discussions on the policy culminated in a multi-stakeholder Presidential Workshop on land issues held in Nay Pyi Taw on 15 August 2014. The Land Advisor provided briefing materials for this meeting and advised members of LUASC that were asked to provide presentations during the workshop. After the workshop, the 5<sup>th</sup> working draft of the National Land Use Policy was finalized and approved by the President’s office, and work began on preparing for a national consultation process on the draft policy. The 5<sup>th</sup> working draft of the policy continued to address a number of work areas, including: land information and transparency; land use mapping and planning; law harmonization and dispute resolution; and the rights of ethnic minorities and women. The 5<sup>th</sup> working draft also continued to contain a number of international best practices, such as those reflected in the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries, and Forests in the Context of National Food Security.

During the month of September, the Land Advisor participated in multiple meetings with donor representatives, Government advisors and stakeholders, and INGO/CSO representatives in order to finalize plans for nationwide consultations on the draft National Land Use Policy. The Land Advisor has also been

working closely with members of the Land Core Group in the development of its strategy for actively participating in national consultations.

There is currently planned a multi-stakeholder pre-consultation event to be held in Yangon on October 18<sup>th</sup>. During this event the Government will officially release to all stakeholders a copy of the 5<sup>th</sup> working draft of the National Land Use Policy. It will also provide presentations on the policy, the chapter outline of the National Land Law, and proposed areas for policy implementation pilot activities. The National Land Advisor worked with Government and other stakeholders to develop briefing materials for this event during the month of September. The GOB has also committed to conducting national consultations on the draft policy in every state and region in the country during the month of November. Work on the pre-consultation event and national consultations will continue during the next quarter.

**National Land Law Development:** During the months of August and September, work began in earnest on developing the National Land Law, based on provisions found within the 5<sup>th</sup> working draft of the National Land Use Policy. The President's office formally requested that a chapter outline for the law be completed by early October, in time for it to be presented at the multi-stakeholder pre-consultation meeting in Yangon on 18 October. The Land Advisor worked closely with the core drafting team from LUASC and other Government stakeholders to develop the chapter outline. During this period the Land Advisor prepared and delivered two PowerPoint presentations to members of LUASC on chapter outline concepts and recommendations. Working closely with the core drafting team members, the Land Advisor presented final recommendations for the National Land Law chapter outline, along with supporting analysis, at the end of September. The draft chapter outline was subsequently submitted to the President's office for consideration.

After approval of the draft chapter outline by the President's office, work will continue on drafting the detailed content for the draft National Land Law. The President's office has requested that a draft of the law be completed by the end of December.

### 1.3.2 Development of Burma Pilot Activities

In June and July 2014, a scoping mission was undertaken to identify opportunities to provide further support in Burma by the COR, a USAID Climate Change Officer, and the TGCC Resource Law Specialist and Resource Tenure Specialist to explore options for the next phase of work on the National Land Use Policy, related legal and regulatory reform, and pilot development (under Tasks 2 and 4) over the next 3 ½ years. Field visits took place in southern Shan state to meet with villagers in two community forestry groups around Inle Lake, as well as Department of Forestry official and the United Nations Development Programme's Inle Lake Conservation Project, while the other field visit occurred in northern Shan state to meet with villagers involved in a customary communal land tenure pilot being implemented by CARE and the Land Core Group near Lashio.



Community meeting during TGCC scoping visit

The proposed work will continue legal and policy development assistance through the assistance of the Resource Law Specialist, but will also likely provide opportunities to support ongoing consultation around the legal development, pilot activities in three landscapes and a participatory action research and learning objective. The process for defining and vetting pilot activities will be elaborated on through two short-term technical assistance trips in October 2014 and January 2015. These efforts are expected to focus on piloting and capacity development to implement key policy elements, in particular related to community rights recognition; participatory, gender-sensitive, and sustainable land use planning that improves livelihoods and reduces deforestation; and alternative land dispute resolution at village/village tract level.

## 1.4 TASK 2 GLOBAL – LEGAL AND REGULATORY RIGHTS TO BENEFITS FROM REDD+ AND OTHER PAYMENT FOR ENVIRONMENTAL SERVICE (PES) SCHEMES

During this quarter ongoing progress was made on:

1. Finalizing a framework for assessing rights to benefits from REDD+ and other PES schemes;
2. Support to the FCPF, the Nepal REDD Cell, and USAID/Nepal through a resource tenure assessment related to Nepal's Emissions Reductions Program Idea Note (ER-PIN); and
3. Continued work on the Resource Tenure and Sustainable Landscapes Assessment in Central America to assist the Central America Regional Climate Change Program (RCCP).

### 1.2.1 Framework for Assessing Rights to Benefits

During this quarter, USAID performed a final review of the research methodological framework for assessing rights to benefits from proposed REDD+ program activities that was completed by the World Resources Institute (WRI) in early 2014. The methodology has been the analytical basis for the Forest Carbon Partnership Facility (FCPF) and USAID Central America Mission Assessments.

### 1.2.2 Collaboration with the FCPF and USAID Missions

Since April 2014, TGCC has coordinated with the FCPF Carbon Fund team on:

- Options for ownership rights over carbon and emission reduction credits generated in relation to the ER-PIN that was submitted and accepted by the World Bank's Carbon Fund. The focus of the legal assessment was to discern what steps the Government of Nepal would have to take in order to meet the requirements of Criteria 28 and 36 of the Carbon Fund's Methodological Framework.
- Tenure analysis to increase understanding of the resource tenure constraints associated with the implementation of the Nepal ER-PIN, particularly around rights to participate in proposed activities and rights to benefit.

These two analyses are explicitly called for within the Carbon Fund's Methodological Framework, yet to date there has been little experience globally on actively linking these assessments to modifying and adapting proposed activities. The completion of the legal review of relevant laws and policies in Nepal, informed through a May 2014 field visit, has been delayed temporarily due to the TGCC Resource Law Specialist mobilization to Burma. This will be completed as soon as possible, and key elements will be shared with the Resource Tenure Specialist to include in the November report.

The August/September Nepal Tenure Analysis was led by the Resource Tenure Specialist with the assistance of a Nepali resource tenure consultant. The six week visit included comprehensive discussions with government, grassroots federations, civil society and academia in Kathmandu followed by field visits to the Terai and two districts in the Mid-Hills Districts. The team was encouraged to avoid a focus on contentious land rights issues in the Terai but rather focus on forest tenure issues as well as how landlessness impinges on formal forest management regimes. The assessment focused on nine types of forest tenure regimes in the Terai and Mid-Hills (government managed forests, community forestry, collaborative forestry, leasehold forests, protected forests, protected areas, buffer zone community forests, public lands



Photo: Nayna Jhaveri

Woman in Dang District collecting Sal leaves as a non-timber forest product





Photo: Naina Jhaveri

Executive committee of women-only Community Forest User Group in Kanchanpur District

forests, and private forests). Districts visited included: in Terai - Bara, Parsa, Chitwan, Kapilbastu, Dang, Bardiya, Kailali, and Kanchanpur, as well as in Mid-Hills – Dolakha and Dadeldhura. Field visits included meetings with Department of Forests offices, a range of community-based forest user groups, conservation organizations, as well as district civil society organizations. The team coordinated closely with WWF's in the Terai Arc landscape project offices in Chitwan and Dhangadhi.

In addition to identifying the current status of tenure regimes, the team identified major gaps in knowledge and areas of research that need to be undertaken by the REDD Cell to inform future implementation. During the assessment, the National Forest Sector Strategy was released calling for an expansion of community forestry over the coming years, as well as changes in the regulatory system to tighten forest governance.

Discussions toward the end of the visit indicated that the REDD Cell will likely be elevated into a REDD Implementation Center

A multi-stakeholder forum was planned for 24 September to vet early results of the Assessment. However, in mid-September there was an

announcement of a massive reshuffling of staff in the Ministry of Forests and Soil Conservation associated with the coming to power of the Congress Party. This change included transfers of many District Forestry Officers, who were interviewed during the early stages of the assessment, as well as the REDD Cell Focal Point. As a result, due to this temporary void, the planned multi-stakeholder forum was cancelled. Another trip to vet the assessment results should be planned in upcoming quarters.

The assessment will be drafted by mid-November and harmonized with the results of the legal analysis. Plans will be developed for vetting the results of the assessment in Nepal, once in country counterparts are re-established. Additionally, the USAID COR and TGCC Resource Tenure Specialist are expected to present out on the Nepal Assessment to the FCPF and USAID Global Climate Change Teams to further explore how TGCC can contribute to the effective consideration of resource tenure in the implementation of the Carbon Fund, and potentially the BioCarbon Fund Tranche 3, which focuses on landscape level efforts.

#### 1.2.4 Central America Resource Tenure and Sustainable Landscape Assessment

During this quarter, the Guatemala, Honduras and Panama Assessments were completed (Guatemala was submitted to USAID) and drafts were shared for review with the USAID Regional Climate Change Program (RCCP), implemented by the Centro Agronómico Tropical de Investigación y Enseñanza (CATIE) counterparts. The Panama Assessment was completed and is awaiting review by TGCC and subsequently USAID during the next quarter. The results of the Panama and Guatemala Assessments are eagerly anticipated by government counterparts, as both are beginning to launch legal efforts around realizing REDD+ activities.

The initial Honduras Assessment did not meet the needs of the RCCP and Panama Consultant, Eugenia Recio, was engaged to support the local consultant who developed the first draft. A Spanish version of the Honduras Assessment has been completed, and preparations for an English translation are underway. A consolidated assessment on tenure and mangroves was completed for the region (three participating countries) and is still under review by TGCC. As noted in previous Quarterly Reports, the Nicaragua Assessment will not be finalized due to the lack of a RCCP counterpart in Nicaragua that had previously been planned.

Each assessment represents the most comprehensive consideration of resource tenure constraints as they related to REDD+, which are eagerly needed for the countries to continue with their FCPF and UN-REDD engagements. During the upcoming quarter, TGCC anticipates finalizing all of the Central America Assessments and distributing them broadly with in-country stakeholders through the RCCP project.

## 1.2.4 Secure Resource Tenure and the Tropical Forest Alliance 2020

At the UN Secretary General's Climate Summit on 24 September and associated side events, numerous forest-related side events were launched and highlighted. In particular, the New York Declaration on Forests was launched with over 125 countries, private sector actors, and civil society organizations providing voluntary commitments on a range of activities to reduce deforestation and improve forest governance. One of the ten commitments of the Declaration is to: "Strengthen forest governance, transparency and the rule of law, while also empowering communities and recognizing the rights of indigenous peoples, especially those pertaining to their lands and resources." Many of the items in the subsequent action agenda to the Declaration are directly linked to the Tropical Forest Alliance (TFA) 2020, an initiative of the Consumer Goods Forum and the US Government with technical support from USAID. Over the past year, USAID has periodically requested TGCC to brainstorm on the connection between TFA 2020 and secure resource tenure. This global commitment provides a unique opportunity for TGCC to build on these efforts and help both the USAID GCC team and the range of USAID partnerships with the private sector more effectively consider secure resource tenure in reducing deforestation. Over the coming quarter, TGCC will continue to brainstorm with USAID on opportunities related to securing tenure and realizing the goals of the New York Declaration and TFA 2020.

## 1.5 TASK 3 – RESEARCH AND SCOPING STUDIES ON TENURE, PROPERTY RIGHTS AND CLIMATE CHANGE MITIGATION AND ADAPTATION

This task contains several sub-tasks. Each sub-task will develop a conceptual framework and supporting evidence to answer a specific set of research questions, either through desk-based or field research.

### 1.3.1 Task 3a. Devolved Ownership and Governance Rights and Forest Condition

This component explores the empirical evidence linking devolved land tenure and the achievement of biophysical forest management objectives. It is led by an interdisciplinary team of Michigan State University (MSU) faculty coordinated by forest economist Dr. Runsheng Yin and social forester Dr. Leo Zulu. Final versions of the literature review were submitted during this quarter. USAID also expressed an interest for TGCC to abandon the "white paper" format and instead produce a four page summary brief with a graphically interesting layout to be distributed around the time of the UN Secretary General's Climate Summit on 24 September 2014. The brief, paper and associated commentary were distributed through IISD's Land, Forests and Climate Change Policy and Practice websites to tens of thousands of subscribers, as well as through the Ecosystem Marketplace and Forest Tracker websites and list serves.

There is some risk that the results of the brief and literature review could be interpreted on a rapid read that there is "no link" between secure tenure and improved forest condition, as opposed to the academic conclusion that "there is limited empirical evidence of a link," in part due to a historically inadequate research design. Indeed many of the comments received from interested stakeholders (see box below) reflected this concern.



#### **Comments received following release of brief:**

From an author of the WRI/RRI report:

"I would certainly agree that many factors impact forest condition – and that "devolution of rights" may or may not be done well, with or without sufficient attention to many aspects that influence the overall outcomes... Unfortunately, there are quite a few people who are eager to seize upon a message of "don't do this" or "we don't yet know enough" to block what could be constructive initiatives, instead of finding ways to make them more effective."

From a leading forest and climate change expert:

"Thank you. Not that we were wishing for these findings, but we have seen the need for stronger empirical evidence on this important question."

To begin to address this concern, TGCC has proposed a panel session at the 2015 World Bank Land Conference that brings together the TGCC authors, authors of the WRI/RRI (Rights and Resource Initiative) report on "Securing Rights, Combatting Climate Change," authors from the Center for Global Development (CGD) report on "What Drives Deforestation and What Stops It? A Meta-Analysis of Spatially Explicit Econometric Studies," and a representative from the International Forestry Resources and Institutions (IFRI) team. While the CGD and WRI/RRI teams have engaged in a controversial online blog debate<sup>1</sup>, and the TGCC report is critical of IFRI's historical database, the authors of each of these reports recognize that their results are not contradictory (though they may be portrayed as contradictory in the public space). As a result, the panel session is proposed to emphasize the complementary aspects of the reports and

collectively discuss areas of agreement in terms of practical guidance for policy and investments. An op-ed or summary brief could be produced as an outcome of this session to reflect consensus and a collective research and implementation agenda.

During the next quarter, very little work on Task 3a is anticipated beyond limited preparations for the World Bank Conference and continued dissemination of the research results.

#### **1.3.2 Task 3b. Devolved Marine Resource Tenure Rights, Biodiversity Conservation and Adaptation**

Tetra Tech EMI is working on a draft primer that highlights the role of sustainable small-scale fisheries and marine tenure in achieving USAID's mission. The primer is intended to support the programming efforts of USAID staff and its partners and serve as a companion document to the desktop study report. A revised draft primer was reviewed by USAID during this quarter, with comments emphasizing the importance of considering coastal concerns and mangroves within the primer. Revised report dates were proposed including a revised primer draft by 31 October 2014, a finalized study report by 31 December 2014, and a finalized primer by 27 February 2015. Discussions continue on opportunities to pilot the primer in a USAID mission, though no decisions have been made to date. Additional discussions included whether to submit an abstract or panel on marine resource tenure to the World Bank Land Conference.

#### **1.3.3 Task 3c. Adaptation**

During this quarter, TGCC did not pursue any discussions or development of opportunities on the link between tenure and adaptation.

### **1.6 TASK 4 GLOBAL – STRENGTHENING WOMEN'S PROPERTY RIGHTS UNDER REDD+**

In this quarter, TGCC continued work on two issue briefs: one on a gendered forest tenure conceptual framework to ensure that REDD+ projects look at how gendered costs and benefits influence the success of interventions, and one on gender, participation, and community-based forestry. Completion of these briefs was largely put on hold during this quarter due to the Burma Scoping Trip and focus on Nepal Resource

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<sup>1</sup> <http://www.cgdev.org/blog/indigenous-peoples-prevent-deforestation-what-about-other-local-communities>



Tenure and REDD+ Assessment. During this quarter, the pilot implementation associated with this Task was confirmed for Burma, and as a result it is considered in the country specific discussion above.

## **1.7 TASK 5 – GRANTS UNDER CONTRACT FOR NATIONAL AND LOCAL ORGANIZATIONS ENGAGED IN STRENGTHENING LAND TENURE AND PROPERTY RIGHTS**

In this quarter, the TGCC DCOP traveled to Zambia to sign the grant agreement with CDLA and provide CDLA staff with training on the financial and reporting requirements of the grant agreement. The DCOP worked with the CDLA Coordinator, Assistant Coordinator, Finance Officer, and Monitoring & Evaluation Officer on completing the first budget projections and the first request for advance. Other activities undertaken included a discussion and plan for CDLA's procurement needs, and on plans for recruitment and hiring of Community Facilitators to undertake the work under the grant.

Following the methodology workshop noted above under Task 1, TGCC began exploring the idea of adding additional funds to the CDLA grant to allow them to add needed staff. It is anticipated that the DCOP will travel to Zambia once again in the next quarter to work with CDLA on plans for this expanded budget and staffing, as well as to confirm that financial and administrative reporting processes are being followed.

## 2.0 PROJECT SPECIFIC PERFORMANCE INDICATORS

TGCC's performance monitoring plan (PMP) was approved in August 2013. The table below shows the advancement on each indicator over this reporting period. Additionally, per the requirements of the TGCC contract, it shows cumulative indicator data for FY 2014.

Subsequent to submission and approval of the PMP, discussions with the home office M&E Specialist regarding the indicators led to a brief list of expected changes to the PMP, including the revision or deletion of several of the indicators below (16, 18, and 19) in addition to the addition of several new indicators around GHG emission reductions, to be included in the next quarterly report. A revised PMP that includes targets will be submitted for approval later this year, once programmatic options in Burma have been narrowed. TGCC will continue to track the indicators included in the approved PMP until a revised version is approved. TGCC notes that additional USAID Land Tenure indicators were added/refined in November 2014, which will be incorporated into the next quarterly report.

COMACO will report on a variety of indicators directly to USAID Zambia through existing USAID Zambia protocol. Additional indicators may also be added associated with CDLA activities.

Performance Indicator	Tasks	Baseline	Total FY 2014	Y2 Target	Y2 Actual	Y2 Q1 (Apr – Jun) Actual	Y2 Q2 (Jul – Sept) Actual	Y2 Q3 (Oct - Dec) Actual	Y2 Q4 (Jan – Mar) Actual
1) Number of days of USG funded technical assistance on land tenure and property rights issues provided to counterparts or stakeholders (4.7.4-9)	1, 2, 3a, 4	0	155	TBD	122	70	52		
2) Number of days of USG funded technical assistance in climate change provided to counterparts or stakeholders (4.8.2-27)	1, 2, 3a	0	47	TBD	47	10	37		
3) Number of days of USG funded technical assistance in natural resources management and/or biodiversity provided to counterparts or stakeholders (4.8.1-28)	1, 2, 3b	0	358	TBD	358	0	358		

Performance Indicator	Tasks	Baseline	Total FY 2014	Y2 Target	Y2 Actual	Y2 Q1 (Apr – Jun) Actual	Y2 Q2 (Jul – Sept) Actual	Y2 Q3 (Oct – Dec) Actual	Y2 Q4 (Jan – Mar) Actual
4) Proportion of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment) (GNDR-2)	I, 4	0	48.5%	TBD	NA	NA	48.5% (1765 w of 3633 total)		
5) Number of laws, policies, or procedures drafted, proposed or adopted to promote gender equality at the regional, national or local level (GNDR-1)	I, 2, 3a, 3b 4	0	I	TBD	I	I	0		
6) Number of households who have obtained documented property rights as a result of USG assistance (4.7.4-5)	I	0	0	1,500	0	0	0		
7) Number of hectares of biological significance and/or natural resource under improved natural resource management as a result of USG assistance	I	0	0	TBD	0	0	0		
<del>8) Proportion of females who report increased self-efficacy at the conclusion of USG-supported training/programming (GNDR-3)</del> Suggest deleting due to non-applicable method for measuring results	I, 4	0	0	TBD	0	0	NA		
9) Proportion of target population reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities (GNDR-4)	I	0	0	TBD	0	0	NA		
10) Person hours of training completed by government officials, traditional authority, or individuals related to land tenure and property rights supported by USG assistance (4.7.4-8)	2, 4	0	1009	TBD	992	160	832		

Performance Indicator	Tasks	Baseline	Total FY 2014	Y2 Target	Y2 Actual	Y2 Q1 (Apr – Jun) Actual	Y2 Q2 (Jul – Sept) Actual	Y2 Q3 (Oct – Dec) Actual	Y2 Q4 (Jan – Mar) Actual
11) Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change (mitigation or adaptation) and/or biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance (4.8.2-28)	2	0	1	TBD	0	0	0		
12) Number of constraints/issues successfully identified and dealt with that contribute to better defined benefit sharing for individuals and communities.	2	0	1	TBD	1	1	0		
13) <del>Local capacity built to advance the legal and regulatory changes needed to advance REDD+ and PES benefit sharing with individuals and communities.</del> Not measurable as written.	2	0	0	TBD	0	0	NA		
14) Number of USAID partnerships with multilateral institutions to advance REDD+ benefit sharing and PES schemes.	2	0	2	TBD	1	1	0		
15) Number of mechanisms to disseminate research findings (issues briefs, publications, presentations) developed/implemented. (Wording will be revised in revised PMP)	3a	0	0	TBD	0	0	2		
<del>16) Value and frequency of research methodology as picked up by national and international stakeholders and replicated.</del> Deleted June 2014	3a	0	1	TBD	0	0	NA		
17) Number of publications developed (issue briefs, case studies, fact sheets, peer-reviewed journal publications).	3b	0	1	TBD	0	0	0		
<del>18) Number of Missions engaged in response to the assessment methodology, the Primer,</del>	<del>3b</del>	0	0	TBD	0	0	NA		

Performance Indicator	Tasks	Baseline	Total FY 2014	Y2 Target	Y2 Actual	Y2 Q1 (Apr – Jun) Actual	Y2 Q2 (Jul – Sept) Actual	Y2 Q3 (Oct – Dec) Actual	Y2 Q4 (Jan – Mar) Actual
and expressing interest in testing the assessment methodology. Deleted June 2014									
19) Number of grants issued to NGOs in participating Missions to test the methodology Deleted June 2014	3b	0	0	TBD	0	0	NA		
20) Number of grants distributed	1, 2, 3a, 4, 5	0	1	TBD	1	1	0		
21) Value of grants distributed	1, 2, 3a, 4, 5	0	\$149,808	TBD	\$149,808	\$149,808	\$0		
22) Number of people attending USG-assisted facilitated events that are geared toward strengthening understanding and awareness of property rights and resource governance-related issues	Core, 1, 2, 3a, 4, 5	0	70 (41m, 29w)	TBD	20 (15m, 5w)	20 (15m, 5w)	97 (81m, 16 w)		
23) Number of USG-assisted facilitated events that are geared toward strengthening understanding and awareness of property rights and resource governance-related issues.	Core, 1, 2, 3a, 4, 5	0	11	TBD	7	2	5		
24) Greenhouse gas emissions, estimated in metric tons of CO <sub>2</sub> equivalent, reduced, sequestered, and/or avoided as a result of USG assistance. (4.8-7) – New as of June 2014	1,2,4	0	N/A	TBD	New	New	0		
25) Number of institutions with improved capacity to address climate change issues as a result of USG assistance. (4.8.2-14) – New as of June 2014	Core, 1, 2, 3a, 4, 5	0	N/A	TBD	New	New	0		
26) Number of laws, policies, strategies, plans, agreements, or regulations addressing	1,2,4	0	N/A	TBD	New	New	+		

Performance Indicator	Tasks	Baseline	Total FY 2014	Y2 Target	Y2 Actual	Y2 Q1 (Apr – Jun) Actual	Y2 Q2 (Jul – Sept) Actual	Y2 Q3 (Oct – Dec) Actual	Y2 Q4 (Jan – Mar) Actual
climate change and/or biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance (4.8.2-28) — New as of June 2014 Deleted due to replication with number 11.									

# ANNEX A: SUCCESS STORIES

Two success stories are provided on the next pages: one for Burma, and one for Zambia.





**USAID**  
FROM THE AMERICAN PEOPLE

# SUCCESS STORY

## Land Policy Reforms in Burma



*Karen community members engage in community land-use planning.*

***The USAID Tenure and Global Climate Change Project is supporting policy development that secures the customary land and resource rights of rural stakeholders in Burma, particularly the rights of women in and around forested areas.***

For more information, contact:  
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**Telling Our Story**  
U.S. Agency for International Development  
Washington, DC 20523-1000  
<http://stories.usaid.gov>

The majority of Burma's population lives in rural areas, where poverty is high and communities depend on sustainable management of forests and agricultural land for survival. The Government of Burma is working with a USAID project to design strategies that strengthen community land rights, increase engagement among civil society, local communities, and government, and encourage learning from pilots implemented across the ethnically and geographically diverse country. Strengthening the land and resource rights of communities will improve livelihoods and increase the success of development activities in Burma.

The project supports the Government of Burma to develop, draft, and publically disseminate a comprehensive National Land Policy that recognizes, respects, and protects the traditional land rights of communities, including women, minorities, and other vulnerable populations. In support of this effort, project staff engaged local communities, civil society organizations, and other stakeholder groups to identify the land tenure and property rights issues impacting their lives. These findings were then presented to the President's Office and the Land Use and Allocation Scrutinizing Committee during a multi-stakeholder workshop on land issues. During the workshop, the project advisor worked to ensure community land rights issues were comprehensively understood by government stakeholders, and advocated for the inclusion of key provisions that protect community land rights in the National Land Policy.

The 5<sup>th</sup> working draft of the National Land Use Policy was finalized and approved by the President's Office following the workshop. The draft addressed a number of critical areas, including land information and transparency, dispute resolution, and the rights of ethnic minorities and women.

Dr. Nyi Nyi Kaw, the Director General of the Forestry Department, said, "This draft policy will strengthen the land tenure security of all people in Myanmar, particularly vulnerable groups such as the poor, smallholder farmers, ethnic communities, and women. It is designed to help create effective mechanisms for land dispute resolution, and support economic development in the country."



**USAID**  
FROM THE AMERICAN PEOPLE

# SUCCESS STORY

## Integrating Participatory Appraisal and Spatial Technologies to Strengthen Customary Land Tenure in Eastern Zambia



CDLA Community Facilitator, Misozi Phri presents on a GIS map that she developed through USAID-funded training.

**Conflicts over land are ubiquitous in rural Zambia, including disputes over boundaries, inheritance and land grabbing. By supporting local institutions and traditional authorities in community resource mapping and land certification, USAID's Tenure and Global Climate Change project, is helping to reduce conflict and strengthened land tenure security.**

**The project supports processes that integrate participatory rural appraisal techniques with spatial technologies such as GPS and GIS. Training on these technologies is building a cadre of Community Facilitators with strong spatial mapping and interpretation skills.**

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### Telling Our Story

U.S. Agency for International Development  
Washington, DC 20523-1000  
<http://stories.usaid.gov>

USAID is piloting approaches to document the customary land rights of individuals and communities in rural Zambia. Yet currently there are less than 40 certified land surveyors in all of Zambia, which presents a significant challenge to efforts aimed at documenting and strengthening the land rights of rural Zambians. To address these constraints, USAID is building the capacity of a local grantee, the Chipata District Land Alliance (CDLA), to integrate high-resolution satellite imagery and basic GIS technology into its community engagement approaches.

Project staff developed a series of trainings that build the skills of CDLA Community Facilitators in both the soft skills of facilitation and the technical elements of spatial data collection and analysis. From August to October 2014, ten CDLA facilitators participated in four 3-5 day trainings on GPS/GIS Basics; Mobile Data Collection; Participatory Rural Appraisal; and Data Integration. This was the first training series of its kind for all of the participants. The courses were structured around a hands-on, interactive approach, and the time between the training modules provided a chance for the facilitators to deepen their skills and identify new questions. CDLA Program Coordinator, Noreen Miti, says: "[The project] has helped the CDLA move from being an organization that responds to conflicts after they emerge to now assisting farmers and traditional authorities to secure their rights and avoid conflicts."

Community Facilitators learned how to manipulate GPS units and develop community maps using two free mapping platforms. They then learned how to link spatial information to data collected from participatory sketch maps and discussions with community members on land governance. Finally, the facilitators developed a customized work flow that will allow them to map community land uses and document village-level resource governance rules.

There is a clear hunger for training in spatial and participatory mapping skills. Since the training, one CDLA Community Facilitator, Moses Kasoka, has registered in a USAID-funded online GIS training. He notes: "After my work with CDLA, a Master's degree in GIS will just be review." Additionally, the Zambia Land Alliance has asked the project to train its staff in these processes and methodologies. Even these efforts to expand local technical capacity will not be adequate to meet the growing need for basic spatial mapping skills. Over the coming months, the project will develop spatial mapping trainings aimed at traditional leaders, particularly Indunas, the primary advisors to and administrators for Zambia's 273 Chiefs. It is hoped that by working directly with Zambia's traditional authorities and building on their largely existing structures, a sustainable and legitimate system for documenting and more transparently administering customary lands will improve customary landholders' tenure security within Zambia's existing legal framework.

# ANNEX B: PROJECT BRIEFS UPDATE

Three updated TGCC project briefs can be found on the next pages. One covers TGCC globally; one focuses on work in Burma; and one focuses on work in Zambia.

## PROJECT BRIEF

# TENURE AND GLOBAL CLIMATE CHANGE

The impacts of climate change and society's response are significantly affecting resource tenure governance, the rights of communities and people, and their livelihoods. In turn, resource tenure and property rights issues are widely recognized to be crucial in the success of many climate change-related initiatives. Interventions that strengthen resource tenure and property rights governance can help reduce vulnerability and increase the resilience of people, places, and livelihoods in the face of climate impacts and promote resource-use practices that achieve adaptation, mitigation, and development objectives.

### How does TGCC work at the intersection of securing rights to natural resources and advancing climate change mitigation and adaptation efforts?

- By piloting tenure interventions alongside climate-smart agriculture investments
- By advancing knowledge on how resource tenure impacts forest carbon/REDD+ activities
- By clarifying the legal and regulatory rights to benefit from forest carbon interventions
- By strengthening the rights of women in forest management
- By researching the relationship between devolved resource tenure and forest condition
- By analyzing the links between marine resource tenure and biodiversity conservation, adaptation and productivity

impact evaluation to better understand how tenure activities influence farmer adoption of CSA. CSA seeks to increase agricultural productivity while decreasing the vulnerability of agricultural landscapes and farmers to the negative impacts of climate change and, where possible, reducing greenhouse gas emissions. CSA practices rely on sustained commitment to land stewardship. Yet, for farmers to be willing to invest time and energy into these long-term land management practices, they need tenure security.

The project is also working to ensure that stakeholder rights related to activities to **reduce emissions from deforestation and forest degradation and incentivize afforestation/reforestation (REDD+)** are clarified and respected, as well as to demonstrate how securing rights impacts climate change mitigation objectives in the forest sector. Through collaboration with international development partners, host country partners, and project developers, USAID is advancing knowledge on the relationship between **tenure and the rights and responsibilities of forest carbon stakeholders**. The work on methodological guidance and national legal analyses will help countries clarify who has rights to benefit from forest carbon activities. In Guatemala, Honduras, Nepal and Panama, USAID has carried out assessments on the interface between REDD+ and land

Using pilot interventions, intensive field work, in-depth case studies, quantitative and qualitative analysis, and literature reviews, the **Tenure and Global Climate Change project** is examining how land tenure and resource rights relate to global efforts to mitigate and adapt to climate change. The project works with USAID missions to identify and test models that strengthen resource tenure governance and increase the success of climate change programming.

USAID is supporting communities and households in the Eastern Province of Zambia to document their customary rights to agricultural land, as well as supporting **climate-smart agriculture (CSA)** extension activities. Project work in Zambia is being evaluated through an independent randomized-control



Community members in Chijaezo, Zambia map community resources





Securing smallholder tenure over combined fish/fowl production facilities in Burma is critical for local livelihoods development

tenure, examining how tenure impacts different stakeholders' ability to participate in and benefit from REDD+ activities. The results of these analyses are being used by government and donors to design their multilateral donor funded REDD+ programs.

The project is contributing to the development of a National Land Use Policy in Burma. A Resource Law Specialist has provided inputs into the policy development process, particularly around strengthening the rights of women and ethnic minorities, as well as promoting recognition of customary and communal rights based on international best practices. USAID will build on this policy support in Burma through pilot **interventions to strengthen women's tenure rights** within an integrated landscape that includes both forest and agricultural land. There is growing recognition that

the gender-differentiated nature of natural resource knowledge, dependence, access, and management needs to be integrated into forest management design and implementation. The project is addressing **the importance of women's tenure rights, including rights to access, use, and manage forest resources**, such as benefits from community forestry initiatives.

The project has also examined the relationship between devolution of rights to local levels and the resulting biophysical outcomes. USAID has completed a review of relevant literature and found that the empirical understanding is limited on the relationship. This is partly due to siloed analyses that do not combine socio-economic and biophysical indicators, and difficulties in collecting comparable indicators across sites.

Building on lessons from USAID's deep history in land tenure and property rights, project staff have developed a primer on how marine resource tenure systems lead to achievement of biodiversity conservation, climate change adaptation, and resource productivity objectives in the context of numerous threats to marine resources posed by climate change and the growth of coastal populations and industries. As the **governance of marine resources** affects the livelihoods of hundreds of millions of people globally, the application of tenure and property rights principles to coastal and marine systems has the potential to strengthen coastal and marine programming and build resilience of the people who rely on these resources.

Over the coming years, this project will focus deeply on in country pilot activities and policy support in Burma and Zambia, while continuing to provide global research and technical support on approaches that demonstrate the role that secure land and resource tenure play in successful climate change mitigation and adaptation activities.



Communities and government collaborate in managing marine resources and illegal, unreported, and unregulated fisheries in the Philippines

For more information, visit: <http://www.usaidlandtenure.net/project/tenure-and-global-climate-change-global>

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## PROJECT BRIEF

# TENURE AND GLOBAL CLIMATE CHANGE – BURMA

Burma is going through a period of rapid changes, which has led to concerns related to land tenure and property rights in the country. Burma has a number of historical, often confusing laws related to land and other resources that have never been harmonized; additionally, there is limited understanding of existing rights. As Burma's economy opens to the world, there are concerns that large investments in land and natural resources may displace Burmese citizens, and lead to unsustainable use of land and natural resources, including deforestation. The government of Burma recognizes these concerns and risks and is working to establish a stronger legal and governance framework to guide land use and land rights. To help address these important concerns and improve land governance, USAID is providing technical support to the development of a land policy and related laws and regulations.

In close coordination with development partners and other donors, USAID's Tenure and Global Climate Change project is providing technical assistance on the development of a National Land Use Policy. Since December 2013, the project has supported a full-time, in-country land tenure advisor who works with the Ministry of Environmental Conservation and Forestry as well as other Burmese institutions engaged in land administration, including civil society.



Photo: Rob Oberndorf, Tetra Tech

Township forest officers discuss operational rules for a community forest near Bagan

With support from international donors, including USAID, the Burmese government completed a draft Land Use Policy in June 2014 that draws on international best practices. The draft policy clearly affirms the importance of land tenure security for smallholder farmers, and seeks to rationalize the land tenure formalization process to promote investments by small and large landholders alike. Additionally, it gives explicit emphasis to land use and property rights for women and for minority ethnic communities, whose land rights are based on customary law. In particular, the policy calls for the first time for the recognition of the rights of vulnerable communities practicing rotating fallow agriculture (*taungya*), as well as forest-dwelling communities. The policy also identifies decentralized governance of land administration and management as necessary for an effective system.

The government in Burma is now embarking on public consultations nationwide to ensure that the policy development process is participatory with preparation assistance from the land tenure advisor. Additionally, the project provides as-needed technical advice to the government and civil society on issues related to implementation of the land policy and development of related legislation and regulations, including a new National Land Law.



Beginning in 2015, the project will also provide support to pilot land tenure and property rights interventions in Burma. These pilots will focus on key provisions of the draft Land Use Policy related to resource boundaries, land use planning, and administrative boundary adjudications. The project will ensure that pilot interventions complement other initiatives planned by the government of Burma, civil society, and other donors working in the land sector. The pilots will particularly place emphasis on strengthening the rights of women and on mitigating conflict arising from the implementation and institutionalization of processes to document and formalize rights. It is anticipated that these pilots will be implemented in close coordination with in-country partner organizations to strengthen the capacity of local organizations.



Photo: Mercedes Stickler, USAID

Local community forest member inspects a recently planted agro-forestry plot in Shan State.

A scoping trip for the pilots was conducted in June 2014 by a team of experts to look at opportunities for engagement. A number of ideas were identified. In October 2014, the project will conduct further scoping to clarify more detailed options for engagement, identify and assess the capacities of potential partners, and present a process for engaging government and civil society in the pilot design and implementation process. Following

this scoping exercise, pilot plans will be finalized between USAID, the government of Burma, and other partners, including civil society, with an expectation of commencing implementation in early 2015.

The project will continue its successful engagement on improved land governance and low-emissions development in Burma through provision of the land tenure advisor, support for the land pilots, and as-needed short-term technical assistance. Project support is expected to continue through 2017.



A dry-zone agriculture plot

Photo: Rob Oberndorf, Tetra Tech

For more information, visit: <http://www.usaidlandtenure.net/project/tenure-and-global-climate-change-global>  
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## PROJECT BRIEF

# TENURE AND GLOBAL CLIMATE CHANGE - ZAMBIA

The majority of land in Zambia is allocated and administered by traditional authorities, led by a Chief and based on the application of customary law. As Zambia's economy and population grow, customary land and its administration are facing new pressures. Demographic and social pressures are reportedly resulting in increased land disputes, leading to tenure insecurity.

Among the most common types of disputes in customary lands are:

- Succession and inheritance disputes
- Boundary disputes between farmers
- Allocations of land already claimed or used by others to new users
- Boundary disputes between headmen
- Boundary disputes between chiefs
- Disputes between farmers and investors over conversion of land and tenure status
- Disputes between farmers regarding livestock grazing on crops/trees

Pockets of land scarcity are occurring in areas where there is market access and infrastructure, where chiefdoms encompass small areas, where existing population density is relatively high, and where Zambian and international investors identify potential business opportunities. As a result, boundary disputes are reportedly becoming more common. Because individual smallholders rarely have documentation of their claims to rights to land, conflicts over boundaries and unclear rights in the event of divorce, death of a family member, or reallocation of land are all issues. Both traditional leaders and village members are increasingly attuned to a need for some form of documentation to assist in arbitration of the increasing number of disputes. At the same time, there has been limited uptake of climate-smart agricultural practices in Zambia. One potential reason for this could be a lack of security of land

tenure to make long-term land investments associated with many climate-smart agricultural practices, like agroforestry.

USAID's Tenure and Global Climate Change project is strengthening customary tenure rights for smallholder farmers to better understand whether it impacts their investments in agroforestry by carrying out pilot interventions in 4-5 chiefdoms in the Chipata District of Eastern Province. The project works with two local implementing partners: the Chipata District Land Alliance (CDLA) pilots tenure strengthening activities, and COMACO is implementing pilot agroforestry interventions.

Over the course of two years, CDLA will work with roughly 138 villages with the project's support. This work will include:

- Mapping customary resources within the Chiefdom, particularly communal resources, as well as documenting customary rules around land administration and management;



Photo: Matt Sommerville, Tetra Tech

Zambian farmer Matthew Nyunge points to his field with young msangu seedlings in contested land that was almost lost to outside investment.

- Mapping and resolution of village-level boundary disputes, as well as supporting headpersons in local land administration through village committees;
- Delivery of household/family level customary land certificates by Chiefs following a boundary clarification process; and,
- Communication of lessons learned at the national level with civil society, development partners, and government, as well as potential support for consultations around the draft national land use policy and draft customary land bill.

Meanwhile, COMACO is piloting agroforestry extension services in over 170 villages in the same chiefdoms to reach some 3,600 farm families. These services are being delivered at the village level and focus on providing training on agroforestry practices, including seed germination, planting, and seedling care. The project will also provide *Faidherbia albida* (known locally as *msangu*), *Gliricidia*, and pigeon pea seeds to trained farmers, as well as follow-up support and information to further encourage uptake of agroforestry.



Photo: Matt Sommerville, Terra Tech

An example of a customary land certificate.

USAID is supporting a rigorous third-party impact evaluation of the project to better understand the relationship between tenure strengthening activities and increased on-farm investment by smallholder farmers.

To achieve this, the pilot interventions are designed around a randomized-control trial approach, with villages selected randomly from each chiefdom to receive the tenure interventions, the agroforestry interventions, or both tenure and agroforestry interventions. A baseline survey has been conducted, and following the completion of project activities, an endline survey will be conducted to compare the development outcomes among villages that received different packages of interventions.

In addition to these activities in the Eastern Province, the project is also supporting national-level dialogues around strengthening customary land management. A land advisor has been placed in Lusaka to provide technical advice to the government of Zambia, USAID, and other donors on opportunities to protect traditional land rights on customary land.



Photo: Matt Sommerville, Terra Tech

Members of a Village Land Committee in Petauke District where Customary Land Certificates have been systematically administered.

Project work in Zambia began in 2014 and is anticipated to be conducted through 2016.

For more information, visit: <http://www.usaidlandtenure.net/project/tenure-and-global-climate-change-global>  
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# ANNEX C: MEDIA

The Task 3a Brief and Literature Review were shared through three international list serves on forests, land and climate change, as well as through a commentary on the USAID Land Tenure portal:

- IISD Policy and Practice Websites: <http://land-iiisd.org/news/usaids-research-explores-link-between-devolving-rights-to-local-levels-and-forest-outcomes/>
- CINCIS Forest Tracker Newsletter: <http://cincis.com/dev/wp-content/uploads/2014/10/FTIID76.pdf>
- USAID Land Tenure: <http://www.usaidlandtenure.net/commentary#2116>

# ANNEX D: PROJECT STAFF

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